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09.04.01

PTO/SB/05 (11-00)

Approved through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 15311-228501

First Inventor Roger D. Pannell

Title SYSTEM AND METHOD FOR INCREASING THE COUNT OF
OUTSTANDING SPLIT TRANSACTIONS

Express Mail Label No. EL705605918US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification (Total Pages 19)
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets 7)
5. Oath or Declaration (Total Pages 2)
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)
Prior application information: Examiner

of prior application No: /
Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



24267



or ☐ Correspondence address below

24267

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Michael R. Reinemann

Registration No. (Attorney/Agent)

38,280

Signature

Michael R. Reinemann

Date

August 31, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 750

Complete If Known

Application Number Not yet assigned
Filing Date August 31, 2001
First Named Inventor Roger D. Pannell
Examiner Name Not yet assigned
Group / Art Unit Not yet assigned
Attorney Docket No. 15311-228501

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

03-1237

Deposit
Account
Name

Cesari and McKenna, LLP

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. §§1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Larg | Entity | Small | Entity | Fee | Fee | Fee | Fee | Fee Description | Fee Paid |
|-------------------|--------|-------|--------|------|------|-----|------|------------------------|----------|
| Cod | | | | (\$) | Code | | (\$) | | |
| 101 | 710 | 201 | 355 | | | | | Utility filing fee | 710 |
| 106 | 320 | 206 | 160 | | | | | Design filing fee | |
| 107 | 490 | 207 | 245 | | | | | Plant filing fee | |
| 108 | 710 | 208 | 355 | | | | | Reissue filing fee | |
| 114 | 150 | 214 | 75 | | | | | Provisional filing fee | |
| SUBTOTAL (1) (\$) | | | | | | | | | 710 |

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|---|--------------|----------------|----------|
| 15 - 20** = 0 x 18 = 0 | | | |
| Independent Claims 2 - 3** = 0 x 80 = 0 | | | |
| Multiple Dependent | | | 0 |

**or number previously paid, if greater; For Reissues, see below

| Larg | Entity | Small | Entity | |
|-------------------|--------|-------|--------|---|
| Fee | Fee | Fee | Fee | Fee Description |
| C de | (\$) | Code | (\$) | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) (\$) | | | | 0 |

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large | Entity | Small | Entity | Fee | Fee | Fee | Fee | Fee Description | Fee Paid |
|---------------------|--------|-------|--------|------|------|-----|------|--|----------|
| Code | | | | (\$) | Code | | (\$) | | |
| 105 | 130 | 205 | 65 | | | | | Fee Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | | | | | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 900 | 139 | 900 | | | | | Non-English Specification | |
| 147 | 2,520 | 147 | 2,520 | | | | | For filing a request for reexamination | |
| 112 | 920 | 112 | 920* | | | | | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840 | 113 | 1,840* | | | | | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | | | | | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | | | | | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | | | | | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | | | | | Extension for reply within fourth month | |
| 128 | 1,890 | 128 | 945 | | | | | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | | | | | Notice of Appeal | |
| 120 | 310 | 220 | 155 | | | | | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | | | | | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | | | | | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | | | | | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | | | | | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | | | | | Utility Issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | | | | | Design Issue fee | |
| 144 | 600 | 244 | 300 | | | | | Plant Issue fee | |
| 122 | 130 | 122 | 130 | | | | | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | | | | | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | | | | | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | | | | | Recording each patent assignment per property (times number of properties) | 40 |
| 146 | 710 | 246 | 355 | | | | | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 710 | 249 | 355 | | | | | For each additional invention to be examined (37 CFR 1.129(b)) | |
| Other (specify) | | | | | | | | | |
| Other fee (specify) | | | | | | | | | |
| SUBTOTAL (3) (\$) | | | | | | | | | 40 |

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or
Printed Name

Michael R. Reinemann

Signature

Michael R. Reinemann

Date

August 31, 2001

Complete (if applicable)

Reg. Number

38,280

Deposit Account User ID

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:)
Roger D. Pannell)
Serial No.: Not yet assigned) Examiner: Not yet assigned
Filed: August 31, 2001)
For: SYSTEM AND METHOD FOR IN-) Art Unit: Not yet assigned
CREASING THE COUNT OF)
OUTSTANDING SPLIT TRANS-)
ACTIONS)
Cesari and McKenna, LLP
88 Black Falcon Avenue
Boston, MA 02210
August 31, 2001

EXPRESS-MAIL DEPOSIT

"Express Mail" Mailing-Label Number: EL705605918US

The following papers are being deposited with the United States Postal Service
"Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. §1.10:

X Patent Application (19 pages including 15 claims)
X Oath or Declaration X Fee Transmittal Letter
X Utility Patent Application Transmittal Letter X Assignment With Recordation Form
X Informal Drawing (7 sheets) Cover Sheet
X Check No. 2984 for \$40 X Check No. 2983 for \$710.00